

TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371		ATTORNEY'S DOCKET NUMBER <div style="text-align: right;">601/5</div>
INTERNATIONAL APPLICATION NO. PCT/CN2004/000730		INTERNATIONAL FILING DATE March 17, 2004
TITLE OF INVENTION MATRIX ADJUVANTS AND THE DROP PILLS PREPARED WITH THEM		PRIORITY DATE CLAIMED July 2, 2003
APPLICANT(S) FOR DO/EO/US (1) CHEN, Jianming; (2) YAN, Xijun; (3) YANG, Yuewu; (4) LU, Wenliang; (5) ZHU, Yonghong; (6) YE, Zhengliang; (7) WANG, Wei; (8) ZHU, Guoguang; (9) ZHENG, Zhigang; (10) WANG, Shuangming		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371.		
2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371.		
3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.		
4. <input checked="" type="checkbox"/> The US has been elected (Article 31).		
5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <div style="margin-left: 20px;"> a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). </div> <div style="margin-left: 20px;"> b. <input type="checkbox"/> has been communicated by the International Bureau. </div> <div style="margin-left: 20px;"> c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). </div>		
6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). <div style="margin-left: 20px;"> a. <input checked="" type="checkbox"/> is attached hereto. </div> <div style="margin-left: 20px;"> b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). </div>		
7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <div style="margin-left: 20px;"> a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). </div> <div style="margin-left: 20px;"> b. <input type="checkbox"/> have been communicated by the International Bureau. </div> <div style="margin-left: 20px;"> c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. </div> <div style="margin-left: 20px;"> d. <input type="checkbox"/> have not been made and will not be made. </div>		
8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).		
9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).		
10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).		
Items 11 to 20 below concern document(s) or information included:		
11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.		
12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.		
13. <input checked="" type="checkbox"/> A preliminary amendment.		
14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.		
15. <input type="checkbox"/> A substitute specification.		
16. <input type="checkbox"/> A power of attorney and/or change of address letter.		
17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825.		
18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).		
19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).		

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <div style="font-size: 24pt; font-weight: bold; text-align: center;">10/563078</div>	INTERNATIONAL APPLICATION NO. PCT/CN2004/000730	ATTORNEY'S DOCKET NUMBER 601/5
20. Other items or information:		
The following fees have been submitted		CALCULATIONS PTO USE ONLY
21. <input checked="" type="checkbox"/> Basic national fee (37 CFR 1.492(a))..... \$300		\$ 300-
22. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c))		
If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0 All other situations..... \$200		\$ 200-
23. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority..... \$100 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB..... \$400 All other situations..... \$500		\$500-
TOTAL OF 21, 22 and 23 =		\$1,000-
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.		
Total Sheets	Extra Sheets	RATE
- 100 =	/50 =	x \$250
		\$
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).		\$
CLAIMS	NUMBER FILED	NUMBER EXTRA
Total claims	20 - 20 =	0
Independent claims	7 - 3 =	4
		x \$200
		\$ 800-
MULTIPLE DEPENDENT CLAIM(S) (if applicable)		+ \$360
		\$
TOTAL OF ABOVE CALCULATIONS =		\$
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.		
SUBTOTAL =		\$
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).		\$
TOTAL NATIONAL FEE =		\$ 1,800-
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property		\$
TOTAL FEES ENCLOSED =		\$ 1,800-
		Amount to be refunded:
		\$
		Amount to be charged
		\$

10/563078

PTO-1390 (Rev. 07-2005)

Approved for use through 3/31/2007. OMB 0651-0021

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

- IAP20 Rec'd PGT/PTO 29 DEC 2005
- a. ☒ A check in the amount of \$ 1,800- to cover the above fees.
- b. ☐ Please charge my Deposit Account No. 11-0223 in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 11-0223. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Frank F. Tian, Esq.
KAPLAN GILMAN GIBSON & DERNIER LLP
900 Route 9 North
Woodbridge, New Jersey 07095
Telephone (732) 634-7634


SIGNATURE

Frank F. Tian

NAME

46,462

REGISTRATION NUMBER

KAPLAN GILMAN GIBSON & DERNIER LLP

COUNSELORS AT LAW

900 ROUTE 9 NORTH, WOODBRIDGE, NEW JERSEY 07095

TELEPHONE (732) 634-7634, FACSIMILE (732) 634-6887

WWW.KGGD.COM

10/563078

AP20 Rec'd PCT/PTO 29 DEC 2005

MICHAEL R. GILMAN¹
JEFFREY I. KAPLAN
TIMOTHY X. GIBSON
MATTHEW B. DERNIER

ASSOCIATE
PERRY M. FONSECA
REG. PATENT ATTORNEY
LESLIE S. GARMAISE¹¹

December 29, 2005

VIA EXPRESS MAIL NO. EV 710456363 US

Commissioner for Patents

P. O. Box 1450

Alexandria, VA 22313-1450

¹ NY AND CT BAR ONLY
¹¹ CO, IL, AND TX BAR ONLY

Re: Applicant: Chen et al.
Title of Invention: MATRIX ADJUVANTS AND
THE DROP PILLS PREPARED WITH THEM
International Application No.: PCT/CN2004/000730
Attorney Docket No.: 601/5

Dear Sir:

Submitted herewith are documents constituting of a U.S. Patent Application under 35 U.S.C.
§ 371. The documents include:

1. A Transmittal Letter expressly requesting to begin national examination procedures;
2. A translation of the published International Application in English;
3. A copy of the published International Application;
4. A Preliminary Amendment;
5. A self addressed, postage prepaid return postcard; and
6. A check in the amount of \$1,800.00.

The Commissioner is authorized to charge any additional fees which may be required, or to credit any overpayment to our Deposit Account No. 11-0223.

Very truly yours,

KAPLAN GILMAN GIBSON & DERNIER LLP



Frank F. Tian
Registered Patent Agent
ftian@kggd.com
Registration No. 46,462

FFT/pa

Enclosures

F:\Clients\Beijing Sunhope -601\601-5\601-5_Cover Letter Cert of Express mail.doc

Patents * Trademarks * Copyrights * Licensing * Litigation

NEW YORK OFFICE:

305 MADISON AVENUE, SUITE 449, NEW YORK, NEW YORK 10165, TEL: (212) 807-4171, FAX: (212) 957-1912